

**Appendix 1**

***Comparison Chart of Duplicative Document Requests***

No.	Category	Trustee's Current Requests	2009 Subpoena	2010 Subpoena
1.	<b>Due Diligence</b>	<ul style="list-style-type: none"> <li>“Documents concerning...<b>due diligence</b>...involving BLMIS, Feeder Funds, or BLMIS-Related Investment Products.” (1)</li> </ul>	<ul style="list-style-type: none"> <li>“...documents concerning any <b>due diligence</b>” conducted by Natixis FP concerning BLMIS or any Fund with a BLMIS Account. (21-23)</li> <li>“...documents concerning any <b>due diligence</b> on BLMIS” performed by any bank or financial institution. (49)</li> </ul>	<ul style="list-style-type: none"> <li>Natixis FP’s “investigation or <b>due diligence</b>” regarding Madoff or Madoff Funds. (19)</li> <li>“All <b>due diligence reports</b>, annual review memoranda, credit approval memoranda” for Madoff and Madoff Funds. (21)</li> </ul>
2.	<b>Ongoing Monitoring of Investments &amp; Transactions</b>	<ul style="list-style-type: none"> <li>“...<b>ongoing monitoring</b> of any investments or transactions involving BLMIS, Feeder Funds, or BLMIS-Related Investment Products.” (2)</li> <li>Examples of documents include “<b>account statements</b>”, “trade tickets”<sup>1</sup>, “<b>audit information</b>”, documents discussing “performance or <b>purported returns</b>” and “<b>regulatory filings</b>”. (1)</li> </ul>	<ul style="list-style-type: none"> <li>Documents concerning BLMIS’ accountants and <b>auditors</b>. (40-41)</li> <li>Documents concerning “<b>return on investment</b>”. (42)</li> <li>Documents concerning “BLMIS’ <b>Form 13F filings</b> with the [SEC]”. (45)</li> </ul>	<ul style="list-style-type: none"> <li>Documents concerning “booking, accounting and <b>tracking of the financing transactions or investment products or services</b>”. (3)</li> <li>Documents concerning Natixis FP’s investment in Madoff Funds, including “<b>monthly statements</b>”. (16)</li> <li>Documents concerning “<b>transactional monitoring</b>”. (20)</li> <li>Documents and communications between Natixis FP and its “<b>outside auditor</b>” relating to Madoff or Madoff Funds. (23)</li> </ul>

<sup>1</sup> Natixis FP produced trade tickets in response to the Subpoenas.

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3.	<b>Risk Analysis</b>	<ul style="list-style-type: none"> <li>Documents concerning “<b>review</b>” and “<b>analysis</b>” including those related to “Operational Risk, credit risk, <b>compliance</b>, or market risk”. (1-2)</li> <li>Documents concerning any “<b>investment committee</b>”, “<b>investment advice</b>”, “<b>risk analysis</b>” or “<b>legal opinions</b>”. (2)</li> </ul>	<ul style="list-style-type: none"> <li>Documents concerning “<b>opinions</b>, research, or <b>advice</b> concerning investments with BLMIS”. (50)</li> </ul>	<ul style="list-style-type: none"> <li>“All documents that refer or relate to any <b>analyses</b>, <b>review</b>, study, or investigation by any <b>oversight committee</b>, review committee, <b>legal department</b>, <b>risk group</b>, internal audit, <b>compliance department</b>...for the Madoff Funds.” (20)</li> </ul>
4.	<b>Investment Decisions</b>	<ul style="list-style-type: none"> <li>“Documents concerning Defendant(s)’ <b>investment decision</b>, evaluation, approval, disapproval...of any investments or transactions involving BLMIS, Feeder Funds, or BLMIS-Related Investment Products.” (2)</li> </ul>	<ul style="list-style-type: none"> <li>Documents concerning Natixis FP’s <b>investments</b> in Fairfield Sentry or any Fund with a BLMIS Account. (4-5)</li> <li>Documents concerning “opinions, research, or <b>advice concerning investments with BLMIS</b>”. (50)</li> </ul>	<ul style="list-style-type: none"> <li>Documents concerning “<b>decision to enter or not to enter</b> into any such financing transactions or investment products or services” linked to Madoff. (4)</li> <li>Documents concerning Natixis FP’s “<b>decision to invest or not to invest</b> in Madoff or any Madoff fund.” (12)</li> </ul>
5.	<b>Illegality or Insolvency</b>	<ul style="list-style-type: none"> <li>“Documents concerning fraud, Ponzi, <b>illegality</b>, front-running, investigations, <b>insolvency</b>, or embezzlement at BLMIS or Feeder Funds.” (3)</li> </ul>	<ul style="list-style-type: none"> <li>Documents concerning “BLMIS’ financial condition, <b>solvency</b>, or ability to timely pay its debts.” (34)</li> <li>Documents concerning the “<b>legality of BLMIS’ operations</b>.” (38)</li> <li>Documents concerning any “<b>investigation of BLMIS</b> by any government agency or official”. (43-44)</li> </ul>	<ul style="list-style-type: none"> <li>Documents concerning “write-offs or liabilities that were tied to losses sustained as a result of Madoff’s <b>liquidation</b>.” (15)</li> </ul>

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6.	Remuneration	<ul style="list-style-type: none"> <li>“Documents concerning <b>fees</b>, rebates, <b>commissions</b>, retrocessions, or any other <b>remuneration</b> paid to or by Defendant(s), related to investments and transactions involving BLMIS, Feeder Funds, or BLMIS-Related Investment Products.” (4)</li> </ul>	<ul style="list-style-type: none"> <li>“...all documents concerning any <b>remuneration</b>...in the form of <b>commissions</b>...” received by or for the benefit of Natixis FP, resulting from the purchase of Fairfield Sentry shares and investments in BLMIS or any Fund with a BLMIS Account. (24-26)</li> </ul>	<ul style="list-style-type: none"> <li>“All documents showing <b>fees</b>, profits, losses, or monies derived from financing transactions or investment products or services” offered by Natixis FP and linked to Madoff. (9)</li> </ul>